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TC 2700 MARKET ROOM

The present invention provides a system for providing notification of market information. A user computer is used to specify a market condition to be monitored, which is received and stored on a host computer. Upon receipt of the condition to be monitored, the host computer generates and transmits confirmation data indicating that the specified market condition has been received by the host computer and will be monitored. A monitoring program compares each of the specified market conditions stored on the host computer with a source of updated market data to determine if a specified market condition is found in the source of updated market data. If and when a specified market condition is found to exist, the monitoring program generating a signal indicating such, and transmits the signal to the user.

Potter, on the other hand, discloses a method for performing financial transactions involving foreign currencies, particularly accommodating "leave orders." A user of the system disclosed in Potter specifies the terms of the transaction the user desires and then "leaves" the order with the system. The system monitors the market terms against the users desired terms and reports back to the user with a bank's offer if the conditions are met. If the offer is accepted, only then does the system automatically forward the trade for processing, generate reports, and allow the user to enter settlement instructions and receive confirmation of trade details. Thus, Potter teaches sending a confirmation only after the user's desired terms are found to exist.

On the other hand, all claims require that confirmation data be generated and transmitted by the host computer system upon receipt of the market condition to be monitored, and then that a separate signal be sent to the user if and when the specified market condition is found to exist. At most, Potter suggests only the second separate signal sent to the user after the market condition is found to exist. Nowhere does Potter teach or suggest that a confirmation be generated and transmitted upon receipt of a market condition to be monitored, as required by all claims.

Higgins discloses a system for distributing, processing and displaying financial information. A hierarchy of computers is provided cascading from a home office main-frame computer to area computers to branch computers down to individual workstations. Financial information is passed to a ticker plant from various exchanges, and then to the computer hierarchy. Each workstation has executing thereon a filtering program which filters the incoming financial information according to user specified criteria to determine if the information is to be displayed.

Like Potter, Higgins does not teach or suggest that a confirmation be generated and transmitted upon receipt of a market condition to be monitored, as required by all claims, and as such, the Examiner has not cited Higgins as teaching this limitation.

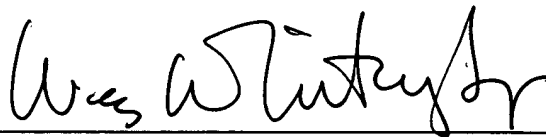
Combining Potter and Higgins as suggested by the Examiner would not lead to the present invention as claimed. As discussed above, neither piece of prior art teaches

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November 4, 1999

or suggests that confirmation data be generated and transmitted by a host computer system upon receipt of a market condition to be monitored, and then that a separate signal be sent to a user if and when the specified market condition is found to exist. As such, a combination of the two would not result in a device having such characteristics.

For the foregoing reasons, Applicants respectfully submit that all pending claims, namely claims 1-4 and 11-17, are patentable over the references of record and earnestly solicits allowance of the same.

Respectfully submitted,



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